April - June 2001

Contingency Preparedness Review

A quarterly newsletter prepared by the Contingency Preparedness School, TRACEN Yorktown

What's inside this issue of CP Review?

Incident Command System (ICS) Implementation Plan

(from ALCOAST 090 2000/40 ICS Implementation Plan)
Staff article

The updated ICS Implementation Plan has been signed by the Chief of Staff, VADM Josiah. This Plan outlines the usage of the Incident Command System throughout the entire Coast Guard work force.

The ICS Implementation Plan is made up of three major elements:

(1) The ICS training plan, which provides an overview of the ICS features and outlines the training requirements for everyone in the Coast Guard,
(2) The Regional and National Incident Command (RIC/NIC) protocol, which provides a senior level management organization in the event of a regionally or nationally significant incident and,
(3) The Incident Management Assist Team (IMAT) guidance, which establishes two highly trained AREA-maintained teams to assist Incident Commanders during large and/or complex response operations.

COMDTINST 3120.14 requires the use of the Incident Command System to respond to all contingencies, those incidents beyond the scope of normal operations.

* The incident command system is a proven multi-contingency response management system that is flexible and provides the Coast Guard with improved interoperability with other organizations.

* ICS will aid in the improvement of responders skills and standardize the Coast Guard's ability to respond as the sole agency or as part of a multi-agency response effort, effectively improving the Coast Guard's readiness.

* The ICS system also brings together the operational and support communities of the Coast Guard in a single organization. Since ICS was adopted Coast Guard-wide, there have been many examples of its successful use for both response and planned events. Egypt air 990, OPSAIL, top officials (TOPOFF) weapons of mass destruction exercise, and the T/V Westchester oil spill in New Orleans to name a few.

* Full implementation of ICS will take some time. Units are encouraged to use ICS in their daily operations to start gaining proficiency in its use. The ICS Implementation Plan provides a phased approach that will spread full implementation over the next 5 years. In the existing personnel and fiscal resource-constrained environment within the Coast Guard, it is critical to be prepared to respond in an organized, efficient way that maximizes use of available resources. ICS provides the Coast Guard with the organization principles that will allow us to leverage our resources by using a common doctrine for any response operation.

Discussions on the link between ICS and the joint operation planning and execution system (JOPES) for crisis action and deliberate planning are being conducted. Guidance on this necessary additional element to CG implementation of ICS will be provided separately.

G-MOR and G-OPF are the designated CGHQ POCs for any questions regarding this policy and the ICS doctrine.

The ICS Implementation Plan can be viewed on the intranet at http://cgweb.comdt.uscg.mil/g-m/icsman.htm

PACAREA and LANTAREA on common ground with JOPES and ICS

By LT Dan Deptula, Instructor, Contingency Preparedness School

Recently, senior members from USCG Headquarters, both Atlantic and Pacific Area Commands, and instructors from the USCG Contingency Preparedness School adjourned after a two-day conference in Yorktown, VA on the integration and future implementation of Joint Operational Planning and Execution System (JOPES) and the Incident Command System (ICS). In the past, interpretations of how to use these systems have varied between programs ("O" and "M") and between Area Commands, alike. However, convergence of opinions seems to be within reach.

The purpose of the meeting was twofold: to develop a charter on (1) doctrine development and (2) devising an implementation plan that facilitates common usage throughout the Coast Guard. Despite their differences, both LANTAREA and PACAREA were eager to come to terms on the importance of these inter-related systems.

However, during the conference, many questions surfaced as to the how and when these systems will be used simultaneously. The need for further analysis across programs, within preparedness planning activities and, most importantly, during response, must occur. The committee responsible to iron out the details of doctrine development will consist of representatives from HQ, Areas, and Training Center Yorktown. Their next meeting in Yorktown is scheduled for early June 2001.

The remaining part of the conference dealt with defining success. It was agreed that the creation of a JOPES implementation plan must address the following ideas:

- A clear, documented communication process during response
- Introduction of a standard framework that allows flexibility of use
- Alignment of deliberate (contingency or preparedness) and crisis action (time-sensitive) planning
- Complements the use of the Incident Command System (ICS) and does not impede or over task the Incident Commander (CGIC)
- Increases vertical CG interoperability and improves communication with DOD counterparts

The critical success factors identified for successful CG JOPES implementation Coast Guard-wide are as follows:

1. **The Coast Guard Chain of Command (HQ, Are, Districts, Incident Commanders, etc.) are using the CG-JOPES process to communicate vertically.**

2. **An appropriately funded and resourced implementation is sustained including:**
   - Doctrine development
   - Training support
   - People
   - Implementation milestones
   - Long-term RP submitted/approved
   - Short-term RP submitted/approved
   - Viable/well distributed implementation plan recognized by all CG members

From left: Dennis Egan (G-OPF), Luanne Barndt (Apm), Capt. James Boland, USN (Ap), Dr Jerry Arends (Pp)

3. **CG-JOPES implementation has buy-in at all levels:** JOMSCC, RMCC, Area, Districts, Incident Commanders, Units, Command Centers, G-MOR, G-OPF, etc.

Establishing JOPES and ICS uniformly throughout the Coast Guard will undoubtedly bring rigor and accountability to response management. However, for seamless implementation, a workgroup teaming with knowledge and vigor will be required. Good luck!

The Hourglass Principle: A Model for ICS and JOPES Integration

By LT Dan Deptula

Let's keep it simple, shall we? That will be the theme of the ICS and JOPES integration doctrine development workgroup scheduled to meet next month in Yorktown, VA. It will be their job to illuminate the shadows of ICS and JOPES that have yet to be seen together in the light. According to **COMDTINST M3120.15, CG ICS Implementation Plan**, "*the Incident Command System is a response management that overlays, but does not replace, existing Coast Guard response organizational structures.*" But, how will this overlay affect operations at the Port-level, or District and Area staffs? Other questions that must be addressed during this doctrine update are:

- How will Coast Guard District and Area commanders communicate response goals, agency constraints and considerations to the CGIC?
- Which echelons of command will be responsible for both ICS and JOPES related deliverables?
- How will the CGIC communicate to senior commands and then to a multi-agency, unified command response organization?
- What kind of JOPES-related activities will impact the tactical planning process of ICS?

The answers to these questions are found in our doctrine. More importantly, the answers are being provided by field commands by means of their recent interpretations of this guidance and their actions during operations. In an attempt to summarize this information in a graphical context, a model was developed last year by the staff at the Contingency Preparedness School. This model, the Hourglass Principle will also be used as another reference during the development of the all-hazards planning and response management doctrine as ICS and JOPES become integrated. Turn this sheet over and spend a few moments reviewing the model before returning to the article.

Consider the chambers of the hourglass, an instrument of time measurement, to be the infrastructure of the Coast Guard. These chambers are depicted as the Port Level response organization and the District/Area response organizations, respectively. The material inside the infrastructure includes Coast Guard resources, negotiated resources of other agencies through preparedness planning, and all the by-products of a preparedness program: unit readiness for response, pre-determined objectives, critical success factors, money sources, developed contingency response plans, etc. Therefore, the size of the chambers is dependent upon the preparedness efforts and capabilities for successful multi-agency response within each echelon of command.

During a contingency response, the two systems meet together at the Coast Guard Incident Commander (CGIC), a pre-designated field commander or person assigned directly by the District Commander to execute a port-level contingency response. According to this theoretical model, the CGIC must understand both systems. Like the sands of the hourglass, so shall all decisions and information pass through this centerpiece in the response structure and into another echelon of command. CGIC's must be effective in communicating horizontally within the ICS multi-agency response organization and vertically within the Coast Guard's internal organization. This relationship is common among the other agencies that are involved in a complex response. They, too, have there own vertical chain of command, and yet, must understand how to function horizontally with others.

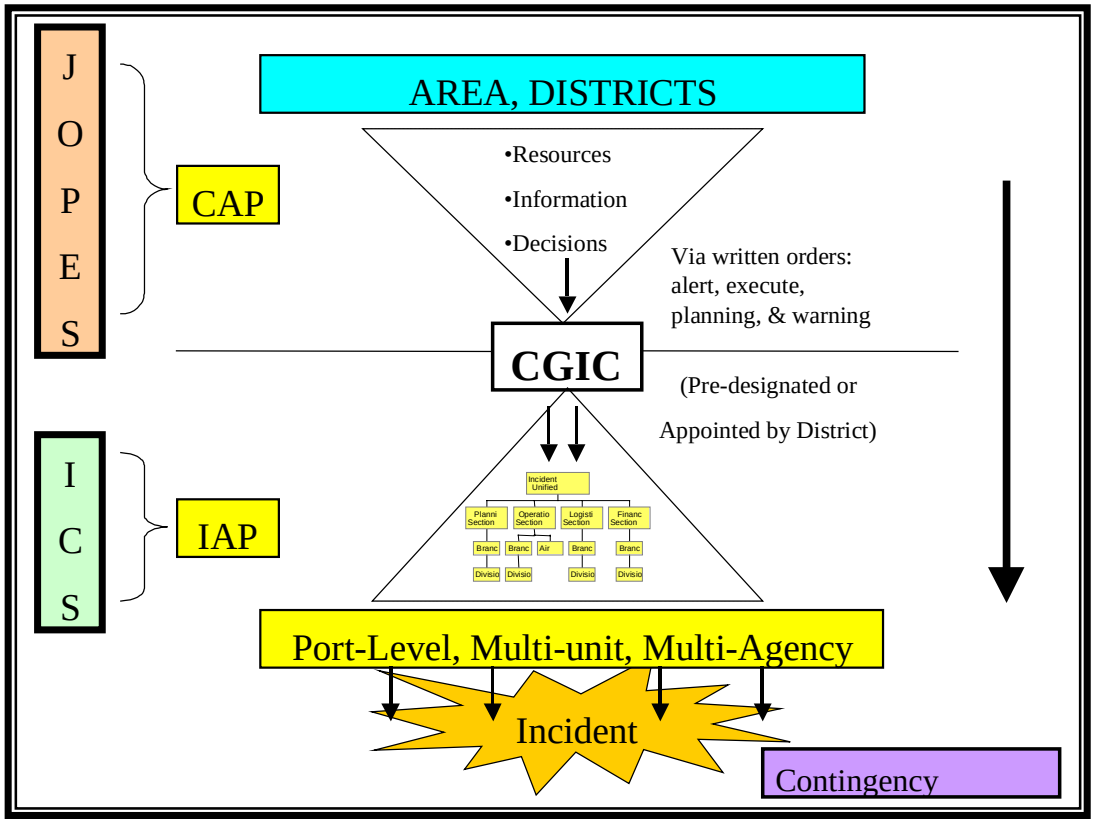
The CGIC must be capable of executing a response via ICS, while simultaneously facilitating exchange of information to the District/Area staffs responsible for Crisis Action Planning (CAP). Information such as an analysis of the situation with potential outcomes (known as the Commander's Estimate), the desired end state, an approximate duration of the response, resource needs, and lessons learned must be communicated in a timely fashion. The ability for the senior commands to provide guidance, response goals, agency constraints and considerations early in the response is crucial for overall success. It is understood that the CGIC will be consistently battling span of control issues, attempting to maintain an optimum response organization in working order. Therefore, the integration of CAP and ICS processes must be streamlined and not inhibit the tactical response planning and ongoing operations of the incident.

In return, higher echelons of command can continuously provide the necessary feedback, resources, and support for the CGIC that exist outside the incident response organization. Through the CAP process, expectations are now in alignment and District/Area commands can properly balance the needs of a surge operation with all other activities that also must be ad-

Key Concepts:

- JOPES provides the vertical communication within our own organization, while maintaining the time-sensitive interoperability with our military counterparts in the Department of Defense; a commitment and core competency of USCG.
- ICS provides the interoperability with our civilian counterparts in the marine industries, the public, and the local, state and federal response agencies who understand and use this system regularly.
- The Coast Guard exists in two very different response environments and must understand both systems to conduct successful preparedness & response planning.

dressed.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•Decisions
Via written orders: alert, execute, planning, & warning
CGIC
(Pre-designated or Appointed by District)
Port-Level, Multi-unit, Multi-Agency
Incident
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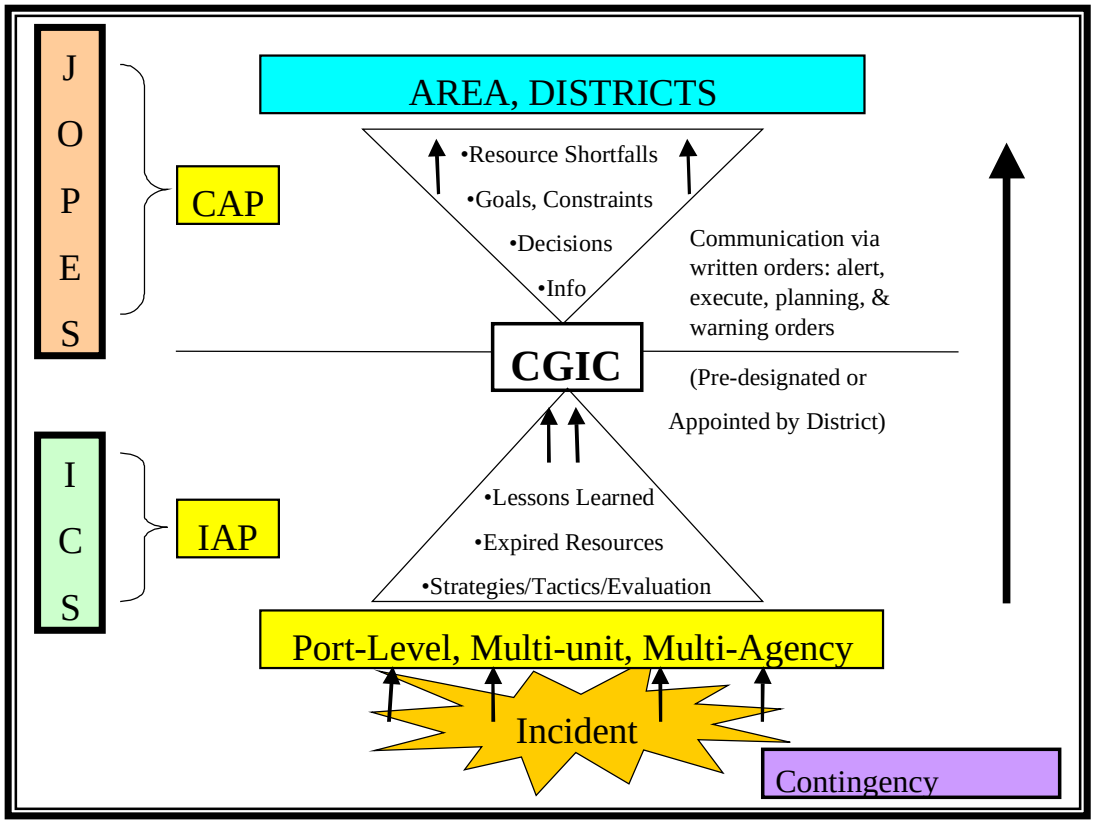
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Communication via written orders: alert, execute, planning, & warning orders
CGIC
(Pre-designated or Appointed by District)
•Lessons Learned
•Expired Resources
•Strategies/Tactics/Evaluation
Port-Level, Multi-unit, Multi-Agency
Incident
Contingency

CPPX lives, Web-4M does not…at least for now

By LT Dan Deptula

Start packing your bags. The first three-week combination of our Preparedness Planner (CPCP) and Exercise Planner (CPZP) course will convene in Yorktown on September 10, 2001. As instructors, we are excited to have the opportunity to conduct a resident pilot course, with all of our students in a classroom environment. But, it wasn't supposed to be this way.

In January, the Contingency Preparedness School began the conversion of these two courses for Web Based Training (WBT). We had intended on conducting the course in June 2001 (then, September) via the internet using the Coast Guard's WBT provider, Web-4M. However, due to software and infrastructure problems that have yet to be shaken out of the system, the use of this new instructional tool will have to wait until next year.

Poised at the leading edge of delivering training via the Internet, the Contingency Preparedness School contends that WBT can help us become more efficient and reach a broader audience in less time. We will continue to evaluate our courses, looking for the most optimal blend of WBT and resident instruction for the future.

But for now, its three weeks of CPPX in Yorktown. Remember, students completing the requirements will receive certificates from both the CPCP and CPXP courses. The target audience is those members (E7-O4) at the Port-level, District or Area who coordinate the development of or review OPLAN contingency plans and/or Area Contingency Plans (ACP's). This course is also intended for those responsible for executing preparedness exercises and drills, regardless if you are in Marine Safety, Operations, or Logistics.

The course is based on the *cycle of quality preparedness and response*. It emphasizes both the preparedness and response planning processes, providing skills in development of executable preparedness plans, response plans (IAP development and Crisis Action Planning products), and exercise management. Also, risk assessment procedures, lessons learned procedures, scenario development, and ICS process training will be provided.

The final exam is conducting a table-top exercise (TTX) for evaluation of a OPLAN port-level appendix.

If interested in this course, contact your District Planning Staff as soon as possible. This class will fill up fast! Quotas will be determined in early July.

***LT Dan Deptula** is the CPPX Course administrator. Please contact him with questions regarding course content via phone 757/ 856-2375 or at* ddeptula@tcyorktown.uscg.mil

The New CG Incident Management Handbook (Formerly known as the Muti-Contingency FOG)

By: LT Mark Emmons, Instructor, Contingency Preparedness School

My source at CG HQ (G-MOR), LCDR Tim "dolphin man" Deal, has told me that the New CG Incident Management Handbook (IMH), is on it's way.

The Incident Management Handbook (IMH), COMMANDANT PUB P3120.17, is designed to assist Coast Guard personnel in the use of the National Interagency Incident Management System (NIIMS) Incident Command System (ICS) during multi-contingency response operations and planned events. The Incident Management Handbook is an easy reference job aid for responders. It is not a policy document, but rather guidance for response personnel.

The Incident Management Handbook (IMH) replaces the Oil Spill Field Operations Guide (FOG) currently in use. The IMH was developed with the knowledge that eighty-percent of all response operations share common principles, procedures and processes regardless of the type of incident. The remaining twenty-percent of response operations are unique to the type of incident such as a search and rescue case or an oil spill.

The IMH is organized so that the generic information applicable to all responses is at the front of the document. For example, the duties and responsibilities of a Planning Section Chief are found in the generic planning section chapter since a Planning Section Chief's job description under ICS does not change from one type of incident to another. The remainder of the IMH is divided into supplements tailored to seven types of incidents the Coast Guard is likely to respond: Search and Rescue; Law Enforcement; Oil Spills; Hazardous Substance Releases; Terrorism; Marine Fire; and, Multi-Casualty.

This FOG will also incorporate the improvements you have seen in the latest edition (2000) of the Oil Spill FOG. Chapters outlining the Planning Process, Objectives and Strategies, and the new RIC/NIC instruction will be inclusive. There is even a chapter dedicated to describing Unified Command.

Look for the new Incident Management Handbooks in the backpockets of MSO/GRP/AIRSTA members somewhere around early to mid July 01 (fingers crossed). However, if you just can't wait to get that version, go to :

http://www.uscg.mil/hq/nsfcc/nsfweb/NSF/onlinedoc.html. Check it out!

Implementing ICS for Response

A critical success factor: "O" Proficiency

By: LT Dan Deptula

Whether it's the small boat station, the group SAR controller, the air station, or a member of the fleet, these resources may be the first-wave attack on a contingency response. Most likely they will be on-scene with other-agency resources, coordinating rescue, law enforcement or information gathering activities, and setting up the framework for a multi-agency response organization. After securing safety of human life, we immediately focus on the environmental, economical, stakeholder and public communication issues. If we are to respond with ICS, the ability to effectively deploy, organize, evaluate, and make unified decisions early on for all the issues become crucial for overall success.

Research and lessons learned from previous contingency responses have shed light on this concept. For instance, just prior to the EGYPT AIR 990 and JFK JR aircraft disaster incidents, Coast Guard members involved in these responses were trained in ICS and practiced the processes through scenario-based exercises with local and state responders. This led to many ICS driven enhancements to their response capabilities such as:

Members of Group Key West take their ICS-300 final exam in April 2001. A multi-agency SAREX, further ICS training and incorporating usage into daily ops are among their future challenges.

* pre-designating and pre-wiring potential Incident Command Posts (ICP's) throughout the AOR,
* recognizing the importance of an effective Joint Information Center to handle intense media pressure,
* the use of technical specialists such as NOAA trajectory modeling experts,
* activating liaison officers for stakeholders outside the Unified Command,
* working a systematic planning process to evaluate needs, gain logistics support, review lessons learned, order resources, establish response objectives and communicate to the public

Understanding the response complexity and level of preparedness required to mobilize and sustain it, is vital for all field level commanders. However, talking the talk and walking the walk of Incident Command System will require a commitment from all echelons of command. The Coast Guard will continue the paradigm shift in response, using ICS for all responses regardless of size, duration, and intensity. Learn to speak the language. Speak it with your fellow response agencies. Practice. Monthly, weekly, daily…practice.

ICS-200…Online!

Web Based Incident Command System Training

LT Dave Anderson, Instructor Port Operations School

Beginning in May of 2001, the Port Operations School at Training Center Yorktown will offer monthly Incident Command System (ICS 200) courses through web-based training. Successful completion of these courses, consisting of two four-hour training sessions conducted via the Internet, will result in basic ICS qualification.

COMDTINST 3120.15 states that ICS is the management tool of choice for all CG responses, including pollution incidents and search & rescue missions. This introductory, eight-hour (total) web-based training is open to all Coast Guard personnel and is offered to ensure that everyone understands the system. (However, each class will be limited to twenty students.)

Students will be able to take the course in one of three ways. The preferred method, mostly due to the Coast Guard's computer infrastructure, is from home, using your own computer and telephone line. Secondly, laptop computers will also be available for checkout through the CG Institute and finally, Standard Workstation III computers may be used.

Students will be provided with a student guide and a package of course materials for supplemental reading. The student guide will help you learn how to use the Coast Guard's live web-based learning tool, Web-4M. TQC will manage quotas for the training.

In the near future, COMDTINST 1540 and the Marine Safety Information System Training Board will announce exact dates. Anyone interested is encouraged to watch for the announcements! If you have any questions on this school, please contact LT Dave Anderson, Port Operations School at 757/856-2495 or danderson@tcyorktown.uscg.mil

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Contingency Preparedness Review

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The editorial staff reserves the right to edit all submitted articles for content and space.

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